

**UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK**

SECURITIES AND EXCHANGE
COMMISSION,

Plaintiff,

v.

BTIG, LLC,

Defendant.

Case No. 1:21-cv-04521-ER

**SEC'S NOTICE OF MOTION TO STRIKE
BTIG'S THIRD AND FOURTH AFFIRMATIVE DEFENSES**

Pursuant to Federal Rule of Civil Procedure 12(f) and the Court's ruling at the pre-motion conference on November 2, 2021, Plaintiff Securities and Exchange Commission ("SEC" or "Commission") respectfully moves the Court to strike Defendant BTIG, LLC's third and fourth affirmative defenses. The reasons in support of this motion are set forth in the SEC's memorandum of law filed herewith.

Dated: November 23, 2021

Respectfully submitted,

/s/ Timothy K. Halloran

Timothy K. Halloran (admitted *pro hac vice*)

U.S. Securities and Exchange Commission

100 F Street, NE

Washington, DC 20549

Tel: 202-551-4414

Email: hallorant@sec.gov

Counsel for the SEC

CERTIFICATE OF SERVICE

I hereby certify that on November 23, 2021, I caused a copy of the foregoing document to be filed through the Court's ECF system, which will serve a copy on all counsel of record.

/s/ Timothy K. Halloran
Timothy K. Halloran